

Reading Excellence Program

Application Instructions for State Grants Fiscal Year 2000



**U.S. Department of Education
Office of Elementary and Secondary Education
Reading Excellence Program
Washington, D.C. 20202-6200**

CFDA Number 84.338A

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Closing Date: May 22, 2000**

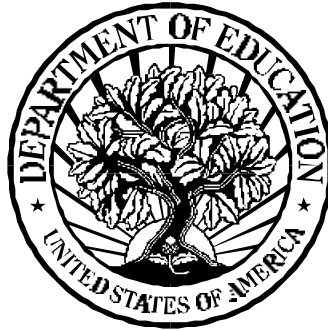
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Note: Copies of standard forms are available at the U.S. Department of Education's website at:

<http://ocfo.ed.gov/grntinfo/appforms.htm>

Introduction



Dear Applicant:

Thank you for your interest in the Reading Excellence Program. The Reading Excellence Act amended Title II of the Elementary and Secondary Education Act of 1965 by adding support for implementing research-based reading instruction in high poverty schools or schools needing improvement. This program provides competitive grants to state education agencies.

The Reading Excellence Act places an emphasis on the importance of scientifically based research, including findings related to phonemic awareness, vocabulary and background knowledge, systematic phonics, fluency, reading comprehension, and motivation, in carrying out these activities. The Reading Excellence Act legislation requires that in order to apply the state educational agency must have a reading and literacy partnership. State educational agencies that receive an award will competitively subgrant to local education agencies for local reading improvement programs and tutorial assistance programs. The primary activities to be supported by grants are: (1) professional development for teachers and principals; (2) early intervention such as tutoring and transition programs for kindergarten students; and (3) family literacy.

Included in this application booklet are the instructions and forms needed to submit a complete application to the U. S. Department of Education. This booklet includes information on funding available in FY 2000 school year, the selection criteria and priorities for evaluating applications, and a copy of the Notice Inviting Applications which provides important information regarding the FY 2000 grant competitions.

For more information about other U.S. Department of Education grant and contract opportunities, we encourage you to use the Department's electronic bulletin board and new EDNET service. The bulletin board data number is (800) 222-4922 (modem access), and the EDNET service can be accessed on the Internet at www.ed.gov.

We look forward to receiving your application and appreciate your interest in promoting reading excellence in American education through implementation of research-based reading instruction.

Nancy Rhett
Director, Reading Excellence Program
Office of Special Initiatives
Office of Elementary and Secondary Education

Federal Register Notice Inviting Applications

DEPARTMENT OF EDUCATION

(CFDA No. 84.338A)

Reading Excellence Program

ACTION: Notice Inviting Applications for New Awards for Fiscal Year (FY) 2000.

PURPOSE OF PROGRAM: The Reading Excellence Program provides competitive grants to eligible State educational agencies to award competitive subgrants to local educational agencies to fund local reading improvement programs and tutorial assistance programs.

ELIGIBLE APPLICANTS: State educational agencies (SEAs) that were not funded in FY 1999; the District of Columbia; Puerto Rico; the Virgin Islands; Guam; American Samoa; and the Commonwealth of the Northern Mariana Islands.

APPLICATIONS AVAILABLE: April 14, 2000.

DEADLINE FOR TRANSMITTAL OF APPLICATIONS: May 22, 2000.

NOTE: An application for an award may be submitted by electronic mail (email), regular mail, or hand delivery.

Special instructions for applications submitted by email: Applications submitted by email should include an electronic return receipt and should be emailed to:

grantspolicy@ed.gov

Applications submitted by email may be submitted in one of the following formats: (1) Microsoft Word (Version Word 95 or Word 97) or (2) portable document format (PDF). The preferred version is Word 97; however, all versions must have text search capability. The electronic version will be the official file copy. To ensure the integrity of the program, the Department will return a printed version to the applicant. The returned receipt and copy will be considered proof of receipt. All forms requiring original signatures (ED-424, Application for Federal Education Assistance; SF 424B, Assurances: Non-Construction Programs; ED 80-0013, Certifications Regarding Lobbying, Debarment, Suspension and other Responsibility Matters; and Drug-Free Workplace Requirements; ED 80-0014, Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions; and Form LLL, Disclosure of Lobbying Activities) must be mailed to the Department by the deadline date, as set out above under the DEADLINE FOR TRANSMITTAL section. Please send a hard copy of your application in addition to the electronic copy to ensure that your application is formatted properly when printed.

NOTE: Some of the procedures in these instructions for transmitting applications differ from those in 34 CFR 75.102 (EDGAR). Under 5 U.S.C. 553, the Department generally offers interested parties the opportunity to comment on proposed regulations. However, these exceptions to EDGAR make procedural changes only and do not establish new substantive policy. Therefore, under 5 U.S.C. 553(b)(A), the Secretary has determined that proposed rulemaking is not required.

DEADLINE FOR INTERGOVERNMENTAL REVIEW: June 21, 2000

ESTIMATED AVAILABLE FUNDS: \$241,100,000.

ESTIMATED RANGE OF AWARDS: \$500,000 - \$60,000,000.

ESTIMATED AVERAGE SIZE OF AWARDS: \$20,092,000.

ESTIMATED NUMBER OF AWARDS: 12.

PROJECT PERIOD: Up to 36 months.

MINIMUM GRANT AWARD FOR SEAs: \$500,000 for SEAs, \$100,000 minimum for territories

NOTE: The Department is not bound by any estimates in this notice.

PAGE LIMIT: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria reviewers use to evaluate your application. You must limit Part III to the equivalent of no more than 100 pages, using the following standards:

- A page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Single space (no more than six lines per vertical inch) all text in the application narrative.
- Use a font that is either 11-point or larger or no smaller than 10 pitch (characters per inch).

The page limit does not apply to Part I, the cover sheet; Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; or the one-page abstract, the resumes, the bibliography, the letters of support or the two permissible appendices. However, you must include all of the application narrative in Part III.

Our reviewers will not read any pages of your application that:

- Exceed the page limit if you apply these standards; or
- Exceed the equivalent of the page limit if you apply other standards.

APPLICABLE REGULATIONS: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99; (b) 34 CFR Part 299; and (c) the notice of final priorities, application requirements, and selection criteria as published elsewhere in this issue of the Federal Register.

FOR APPLICATIONS AND FURTHER INFORMATION: Send an email message requesting an application to: reading_excellence@ed.gov. You may also receive an application by downloading it from the reading excellence website:

<http://www.ed.gov/offices/OESE/REA/index.html>

or by contacting Nancy Rhett, U.S. Department of Education, 400 Maryland Avenue, SW, Room 5C141, Washington, DC 20202-6200; Telephone: (202) 260-8228. If you use a telecommunications device for the deaf (TDD), you may call the Federal Information Relay Service (FIRS) at 1-800-877-8339.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request by contacting Katie Mincey, Director, Alternate Format Center, 330 C St. SW, Room 1000, Washington, DC 20202-4560; by calling (202) 260-9895 or 205-8113; or by emailing:

katie_mincey@ed.gov

Individuals with disabilities also may obtain a copy of the application package in an alternate format by contacting Ms. Mincey. However, the Department is not able to reproduce in an alternate format the standard forms included in the application package.

Electronic Access to This Document:

You may view this document, as well as all other Department of Education documents published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at either of the following sites:

<http://ocfo.ed.gov/fedreg.htm>

<http://www.ed.gov/news.html>

To use the PDF file you must have the Adobe Acrobat Reader Program, which is available free at either of the preceding sites. If you have questions about using the PDF, call the U.S. Government Printing Office (GPO), toll free at 1-888-293-6498; or in the Washington, D.C., area at (202) 512-1530.

NOTE: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at:

<http://access.gpo.gov/nara/index.html>

PROGRAM AUTHORITY: 20 U.S.C. 6661 et seq.

Dated: April 13, 2000

Michael Cohen
Assistant Secretary
Elementary and Secondary Education

Instructions for Transmitting Applications

An application for an award may be submitted electronically, mailed, or hand-delivered by the closing date. The preferred form of submission is by electronic transfer. Applications may not be faxed.

Note: Only materials postmarked or electronically transferred by the closing date will be sent to the review panel

Applications Sent Electronically

Applications submitted electronically should include an electronic return receipt. The electronic mailing address is: grantspolicy@ed.gov.

Applications submitted electronically may be submitted in one of the following formats:

1. Microsoft Word
2. PDF (Adobe Acrobat)

The preferred version is Microsoft Word 97; however, all versions must have text search capability.

After notifying Reading Excellence staff, applications may also be submitted in Corel WordPerfect format. Documents in Macintosh format will not be accepted.

The electronic version will be the official file copy. The e-mailed return receipt will be considered proof of receipt. The Department will return a printed version to the applicant, upon request. Applicants that submit an application electronically are requested to mail an unbound hard copy to ensure that the complete application was accurately transferred

While most of the application may be sent electronically, some parts must be sent in hard copy – forms which require original signatures. The following forms, with original signatures, must be mailed to the Department by the closing date:

1. Cover page (SF 424)
2. Assurances and Certifications
 - a. Assurances—Non-Construction Programs
 - b. Certifications regarding Lobbying; Debarment; Suspension and Other Responsibility Matter; and Drug-Free Workplace Requirements
 - c. Certification Regarding Debarment, Suspension, Ineligibility & Voluntary Exclusion – Lower Tier Covered Transaction (if applicable)
 - d. Disclosure of Lobbying Activity (if applicable)

Original forms must show proof of mailing consisting of one of the following:

- A legible dated U.S. Postal Service Postmark;
- A legible mail receipt with the date of mailing stamped by the U.S. Postal Service;
- A dated shipping label, invoice, or receipt from a commercial carrier; or

- Any other proof of mailing acceptable to the U.S. Secretary of Education.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

An applicant is encouraged to use registered or at least first-class mail.

Applications Sent by Mail Only

Two copies must accompany an application sent by mail, one of which must be unbound (including all appendices). Applicants who choose to submit hard copy applications must have an electronic version available upon request. Hard copy applications must be mailed to: The U.S. Department of Education, Application Control Center, Attention: CFDA 84.338A, 400 Maryland Avenue, SW, Washington, DC 20202-4725. An application must show proof of mailing as follows.

Original forms must show proof of mailing consisting of one of the following:

- A legible dated U.S. Postal Service Postmark;
- A legible mail receipt with the date of mailing stamped by the U.S. Postal Service;
- A dated shipping label, invoice, or receipt from a commercial carrier; or
- Any other proof of mailing acceptable to the U.S. Secretary of Education.

If the documents are sent through the U.S. Postal Service, the Secretary does not accept either of the following as proof of mailing:

- A private metered postmark, or
- A mail receipt that is not dated by the U.S. Postal Service.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

An applicant is encouraged to use registered or at least first-class mail. Each late applicant will be notified that its application will not be considered.

Applications Delivered by Hand/Courier Service:

An application that is hand delivered must be taken to the U.S. Department of Education, Coordination and Control Branch Room 3633, General Services Administration National Capital Region, 7th and D Streets, S.W., Washington, D.C. 20202-4725.

The Application Control Center will accept deliveries between 8:00 a.m., and 4:30 p.m. (Eastern standard time) daily, except Saturdays, Sundays, and Federal holidays.

Individuals delivering applications must use the D Street Entrance. Proper identification is necessary to enter the building.

In order for an application sent through a Courier Service to be considered timely, the Courier Service must be in receipt of the application on or before the closing date.

Instructions for Preparing the Application - Overview

This application contains the information and the required forms for you to use in submitting a new application for funding. Applicants should carefully review all the instructions in this application and the selection criteria. *Applications are evaluated solely on the basis of these criteria.* Experience shows that strong applications make a reasoned and compelling case for the significance that research will play in making a difference in classroom practice and in student learning.

Application Format and Length

Narrative. The narrative section of the application is limited to the equivalent of no more than 100 single-spaced pages using the following standards:

- (1) A page is 8.5" x 11", on one side only.
- (2) The page limit includes all narrative, titles, headings, footnotes, quotations, references, and captions, as well as charts, tables, figures and graphs.
- (3) The font must be 11-point or larger.
- (4) The page limit does not apply to the Application for Federal Education Assistance Form (424); the Budget information Form (ED 524) and attached itemization of costs; the other application checklists and forms and attachments to those forms; the assurances and certifications; or the Table of contents and the one-to-two page abstract which should precede the narrative section and provide a short description of the project.

All pages beyond the 100-page maximum will be removed unread and returned to the applicant and will not be read by the reviewers evaluating the application.

Bound copies of the application are not needed. The Department will make copies for reviewers and for official files. We request that all applicants send or bring one unbound copy of the application with no tabs or inserts such as brochures. All sections of the application must be suitable for photocopying. Applicants may use a binder clip or rubber band to keep pages together.

If the applicant prefers to submit one or two bound copies in addition to the unbound copy, that is acceptable but not necessary. If applicants submit one or two bound copies, the REA program will use those as the main file copy. All copies submitted must have original signatures.

Appendices. No more than two appendices may be included: one that contains a description of any relevant State standards and assessments and a second one (required) that lists local educational agencies and schools eligible as of the date of the application and the number of children and teachers in each school.

Competitive priority. When addressing the absolute priority, the applicant should provide a brief assurance that the proposed project will meet the above priority, and reflect this commitment in proposed project activities throughout the application.

A table is included at page 23 that may be used to address the competitive priority.

Application Organization

It is recommended that the completed application be organized in the following order and include the following parts:

- A. Cover page: Application for Federal Assistance (Standard Form 424).
- B. Table of contents
- C. Abstract: – a one- to two-page brief description of the proposed project
- D. Program narrative (see page 15 and following for a suggested outline)
- E. Budget (ED form 524 and supporting information)
- F. Appendices
 1. State standards and assessments related to reading
 2. List of eligible districts and schools
- G. Assurances and other required information
 1. Compliance with General Education Provisions Act (GEPA), Section 427
 2. Assurance Forms
 - a. *Non-Construction Programs* (SF424B)
 - b. *Lobbying; Debarment; Suspension and Other Responsibility Matter; and Drug-Free Workplace Requirements* (ED80-0013)
 - c. If applicable: *Certification regarding debarment, suspension, ineligibility, and voluntary exclusion – Lower tier covered transactions* (ED 80-0014)
 - d. If applicable: *Disclosure of Lobbying activities* (Form LLL)

Discretionary Grant Forms

Most of the following required Federal forms must be completed; included in the application; and, except for the budget (Form 524), have an original signature on at least one copy.

- Form 424--Application for Federal Education Assistance
- ED Form 524--Budget Information, Non-Construction Programs
- Standard Form 424B--Assurances, Non-Construction Programs
- ED80-0013--Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements
- ED80-0014--Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transactions (if applicable)
- Standard Form LLL--Disclosure of Lobbying Activities (if applicable)

Electronic versions of these forms and instructions can be accessed on the Internet at:

<http://ocfo.ed.gov/grntinfo/appforms.htm>

Equitable Access and Participation - Section 427 of the General Education Provisions Act (GEPA)

The Department has guidance for grant applicants regarding the equitable access and equitable participation provision in section 427 of GEPA. Section 427 of GEPA requires all new applicants for Departmental programs to describe in their applications the steps they propose to take to ensure equitable access to, and equitable participation in the project or activity to be conducted with program funds. The descriptions should include the steps that the applicant intends to take to help students, teachers and other beneficiaries overcome barriers to equitable participation in program activities that the applicant would conduct. The enclosure, NOTICE TO ALL APPLICANTS (OMB No. 1801-0004 (Exp. 8/31/2001), is included in this application.

**NO GRANT MAY BE AWARDED UNLESS A COMPLETE
APPLICATION HAS BEEN RECEIVED.**

Selection Criteria

The following selection criteria will be used to evaluate applications for new grants under this competition. The maximum score for all of these criteria is 100 points. (An additional 5 points may be gained by submitting information for the competitive priority for teacher certification changes (see page 14).)

The maximum score for each criterion is indicated in the parentheses. There are no specific point totals for the subcategories within each criterion.

(1) Understanding and commitment to effective reading instruction based on scientifically-based reading research. (15 points)

In determining the State's understanding and commitment to effective reading instruction based on scientifically-based reading research, the Secretary considers the following factors:

- (a) The extent to which the proposed project incorporates a deep understanding of the scientifically-based reading research literature and how it applies in their State and local education systems.
- (b) The extent to which the scientific literature on reading is implemented in proposed grant activities.

(2) Demonstration of need. (10 points)

In determining the need for the proposed project, the following factors are included: demographic and social data on the target population for this program (children and families) and State efforts and initiatives in reading, including current professional development activities related to the teaching of reading and family literacy, standards and assessments, and other related activities; and their relation, if any, to findings from scientifically-based reading research.

(3) Quality of local district and school activities. (35 points)

In determining the quality of the services to be provided by local activities, the Secretary considers the following factors:

- (a) How the proposed project would change classroom instruction in schools under Local Reading Improvement subgrants. In particular, what professional development activities would be implemented.
- (b) The extent to which the proposed activities support research-based classroom reading instruction (including extended learning such as tutoring and summer programs, kindergarten transition, and family literacy/involvement).
- (c) The extent to which the proposed activities will improve reading instruction for all children, including English language learners, children with special needs, and children whose level of achievement indicates that they will need additional instructional support.
- (d) The extent to which the Tutorial Assistance subgrant activities of the proposed project reflect up-to-date knowledge of reading research and effective practice.

(4) Quality of the plan for State leadership, oversight and evaluation. (25 points)

In determining the quality of the plan for State leadership, oversight and evaluation, the Secretary considers the following factors:

- (a) The adequacy of procedures for ensuring success under this grant, including how the State will ensure that school activities will use practices based on scientifically-based reading research, especially professional development activities for K-3 teachers.
- (b) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including:
 - Development of the reading and literacy partnership for overseeing proposed grant activities;
 - Guidance provided to eligible districts and schools for developing applications;
 - Subgrant processes and criteria; and
 - Leadership, technical assistance, and monitoring activities for subgrantees that ensure continuous improvement in reading.
- (c) The qualifications, including relevant training and experience, of the key SEA staff responsible for managing the grant activities described above.
- (d) The quality of the State's evaluation design, including student outcome measures or indicators for grades K-3, subgrant (Local Reading Improvement and Tutorial Assistance) and school implementation measures and indicators, a timeline for data collection and reporting, provisions for feedback to districts, and identification of a qualified evaluator or inclusion of appropriate criteria.
- (e) The extent to which the proposed activities coordinate REA with other State initiatives and programs, including how the REA grant will add to current State and local efforts such as comprehensive early literacy programs.

(5) Adequacy of resources. (15 points)

In determining the adequacy of resources, the Secretary considers the following factors:

- (a) The extent to which the average and range of amounts proposed, including the amounts per school, that will provide sufficient resources to accomplish the tasks of Local Reading Improvement and Tutorial Assistance subgrants.
- (b) The budget provides sufficient detail and an appropriate level of funding to accomplish the purposes of this grant.

Regulatory Requirements

The Department published the following two priorities in the *Federal Register* on April 18, 2000. The notice was on file as of April 13, 2000, and became official on that date. Definitions of the types of priorities are as follows:

- **Absolute priority:** Under an absolute priority we consider only applications that meet the priority (34 CFR 75.105(c)(3)).
- **Competitive preference priority:** Under a competitive preference priority we give competitive preference to an application by awarding additional points, depending on how well the application meets the competitive priority (34 CFR 75.105(c)(2)(ii)).

Absolute priority for focus on K-3 and related services and programs:

Under this priority, the Assistant Secretary gives an absolute preference to SEAs that exclusively fund, at the subgrant level, activities to improve kindergarten through grade three reading instruction and related early childhood, professional development, family literacy, extended learning and tutorial activities.

Competitive priority on teacher certification requirements

Section 2253(c)(2)(C) of the Reading Excellence Act requires that priority be given to SEAs whose States have modified, are modifying, or provide an assurance that they will modify their elementary school teacher certification requirements within 18 months after receiving an REA grant. The modification must increase the training and the methods of teaching reading required for certification as an elementary school teacher to reflect scientifically-based reading research. However, nothing in the REA shall be construed to establish a national system of teacher certification.

The Assistant Secretary will award up to 5 additional points to applicants that meet this priority. Two points will be awarded to applicants that provide an assurance only. To receive the additional three points, the SEA must include detailed plans or have implemented changes that describe high quality teacher preparation that reflects scientifically-based reading research.

Application Outline

The following suggested outline for the application is consistent with the selection criteria. Applicants may follow this outline or develop one that provides similar information.

Table of contents

Abstract

Section 1. Introduction

Section 2. Need

- A. Need for program in state (children and families, teaching staff, state and district systems)
- B. Understanding of scientifically based reading research (SBRR) and high quality professional development
- C. Current state efforts in reading, family literacy, standards and assessments, and school reform and how relates to SBRR

Section 3. State leadership and oversight

- A. Reading and Literacy Partnership
 - 1. Composition of partnership (positions, names, affiliations)
 - 2. Role of partnership in development of this application
- B. SEA activities under REA
 - 1. Chart: Timeline, key activities, staff involved
 - 2. How the state will use REA funds to design and implement high quality professional development for teachers, ensuring that it is based on scientifically based reading research, and integrate it into other efforts at the state and local levels.
 - 3. Application process
 - a. Technical assistance and training for eligible districts and schools
 - b. Overview of application(s) for LRIs and Tutorials
 - c. Scoring and criteria
 - d. How will LEAs select schools?
 - e. Review process, including role of Reading and Literacy Partnership
 - 4. Technical assistance (SEA-provided or SEA-organized), monitoring, and performance measurement to ensure high quality implementation and fidelity to SBRR by subgrantees
 - 5. Other
 - a. Use of technology to facilitate program management, oversight, and professional development
 - b. Teacher certification reform
 - c. Tutorial Assistance program notification process
- C. Staffing -- SEA and other state-level or regional staff, consultants and organizations
 - 1. Staff roles and responsibilities, time commitment
 - 2. Resumes of key staff

Section 4. Local district/school interventions under Local Reading Improvement subgrants

- A. Overview: How will classroom instruction change in your state's schools and what do you expect districts and schools to do to achieve this? What data will be available that reflect changes in classroom instruction?
- B. Reading instruction:
 - 1. Professional development and materials for Grade K-3

2. Instruction for English language learners
3. Instruction for children at risk of being referred inappropriately to special education
4. Teacher assessments to inform instruction
- C. Supporting activities
 1. Extended learning (tutoring and summer programs)
 2. Kindergarten transition
 3. Family literacy - coordination, expected services and age ranges
 4. If applicable, use of technology to support local professional development or instruction.
 5. Coordination with related programs

Section 5. Local district activities under Tutorial Assistance subgrants

- A. Overview: What is expected of LEAs?
- B. Criteria for determining eligibility of tutorial assistance providers
- C. Organizing multiple providers and monitoring their services
- D. Process for selecting children
- E. Keeping parents informed
- F. Ensuring participant confidentiality and privacy for families
- G. Oversight and monitoring/administration

Section 6. Evaluation and performance measurement, planned contract

- A. Evaluation design for outcomes and implementation evaluation
 1. Student assessment measures, indicators, and other measures planned for grades K-3
 2. Family literacy measures
 3. Implementation measures, especially on professional development and classroom change
- B. Timeline for data collection
- C. Name and organization of evaluator or criteria for selection of the evaluator
- D. Role of Reading and Literacy Partnership

Section 7. Relationship of REA activities to other state efforts

- A. How does the state's REA program relate to other state efforts to improve reading?
- B. What will REA add to current state efforts? What is the value added by REA?

Section 8. Budget (form plus detailed description)

- A. Budget and details
- B. Resources per school
 1. Number of districts, schools, teachers, and children expected to be funded
 2. Estimated average cost and range for districts and schools

Appendix A: State standards and assessments related to reading

Appendix B: List of eligible districts and eligible schools located in the district and the number of teachers and children in each school

Description of compliance with GEPA Section 427

Forms

Supplemental Budget Form

Submission of this form will help to ensure that the state's funding request complies fully with the Reading Excellence Act requirements.

Budget breakdown	Year 1		Year 2		Year 3		Total	
	Dollar Amount	%	Dollar Amount	%	Dollar Amount	%	Dollar Amount	%
State administration (up to 5%)								
State administration of Local Reading Improvement subgrants								
Evaluation (no more than 2%)								
Subtotal, State administration								
Local Reading Improvement Subgrants (at least 80%)								
Subgrants to LEAs								
Tutorial Assistance Subgrants (no more than 15%)								
Subgrants to LEAs								
State administration								
Subtotal, Tutorial Assistance								
Total, REA request								
Total								

Comments:

State administration of Local Reading Improvement subgrants and overall evaluation: A state may reserve no more than 5 percent of its REA grant funds for (1) costs of state administration of the Section 2255 Local Reading Improvement subgrants and (2) evaluation of both programs.

- Each SEA may use no more than 2 percent of the 5 percent to carry out evaluation and performance reporting required by section 2259.
- Evaluation and reporting activities must cover both the Local Reading Improvement subgrants and the Tutorial Assistance subgrants.

Local Reading Improvement subgrants: At least 80 percent of the state's grant must be used for Local Reading Improvement subgrants to local educational agencies.

Tutorial Assistance subgrants: States may reserve up to 15 percent for the Tutorial Assistance subgrant program (Section 2256) and should charge administrative costs for the Tutorial Assistance subgrants – soliciting applications, making awards, and overseeing the performance of the subgrants – to the 15 percent as well. States must plan to make at least one Tutorial Assistance subgrant.

Application Checklists

Following are checklists that applicants may use to make sure that they have addressed all legislative requirements in the Reading Excellence Act. These checklists include:

- Reading Excellence Act legislative requirements for the application
- General Education Provisions Act forms required
- Reading and Literacy Partnership
- Teacher certification

Legislative Compliance Checklist

Reading Excellence Act Application Requirements		
Area	Information to be Included	Included?
Sec. 2253(b)(2)(A)	<p>The application must contain an assurance that the Governor of the State, in consultation with the State educational agency, has established the required reading and literacy partnership. The application must also include a description of how such partnership</p> <ul style="list-style-type: none"> i. assisted in the development of the State plan; ii. will be involved in advising on the selection of Local Reading Improvement and Tutorial Assistance; and iii. will assist in the oversight and evaluation of the subgrantees 	
Sec. 2253(b)(2)(B)	<p>Each application must contain a description of the following:</p> <ul style="list-style-type: none"> i. How the State educational agency will ensure that professional development activities related to reading instruction and provided under this part are (a) coordinated with other State and local level funds and used effectively to improve instructional practices for reading and (b) based on scientifically based reading research. ii. How the activities assisted under this part will address the needs of teachers and other instructional staff, and will effectively teach students to read. iii. The extent to which the activities will prepare teachers in all the major components of reading instruction (including phonemic awareness, systematic phonics, fluency, and reading comprehension) iv. How the State educational agency will use technology to enhance reading and literacy professional development activities for teachers, as appropriate. v. How parents can participate in literacy-related activities assisted under this part to enhance their children's reading. vi. How subgrants made by the State educational agency will meet the requirement of the law, including how the State educational agency will ensure that subgrantees will use practices based on scientifically based reading research. vii. How the State educational agency will, to the extent practicable, make grants to subgrantees in both rural and urban areas. viii. The process that the State used to establish the required reading and literacy partnership. 	
Sec. 2253(b)(2)(C)	<p>Each application must contain an assurance that each local educational agency to which the State educational agency makes a subgrant—</p> <ul style="list-style-type: none"> i. Will provide professional development for the classroom teacher and other appropriate instructional staff on the teaching of reading based on scientifically based reading research. ii. Will provide family literacy services based on programs such as the Even Start family literacy model authorized under part B of title I, to enable parents to be their child's first and most important teacher. iii. Will carry out programs to assist those kindergarten students who are not ready for the transition to first grade, particularly students experiencing difficulty with reading skills; and iv. will use supervised individuals (including tutors), who have been appropriately trained using scientifically based reading research, 	

Reading Excellence Act Application Requirements		
Area	Information to be Included	Included?
	to provide additional support, before school, after school, on weekends, during noninstructional periods of the school day, or during the summer, for children preparing to enter kindergarten and students in kindergarten through grade 3 who are experiencing difficulty reading.	
Sec. 2253(b)(2)(D)	Each application must contain an assurance that instruction in reading will be provided to children with reading difficulties who— <ul style="list-style-type: none"> i. Are at risk of being referred to special education based on these difficulties; or ii. Have been evaluated under section 614 of the Individuals with Disabilities Education Act but, in accordance with section 614(b)(5) of such Act, have not been identified as being a child with a disability (as defined in section 602 of the such Act). 	
Sec. 2253(b)(2)(E)	Each application must contain a description of how the State educational agency will <ul style="list-style-type: none"> i. build on, and promote coordination among, literacy programs in the State (including federally funded programs such as the Adult Education and Family Literacy Act and the Individuals with Disabilities Education Act), in order to increase--the effectiveness of the programs in improving reading for adults and children and to avoid duplication of the efforts of the programs; ii. Will promote reading and library programs that provide access to engaging reading material; iii. Will make eligible local educational agencies aware of the availability of Local Reading Improvement and Tutorial Assistance Subgrants; and iv. Will assess and evaluate, on a regular basis, local educational agency activities supported by the Reading Excellence Act. 	
Sec. 2253(b)(2)(F)	Each application must contain a description of the evaluation instrument the State educational agency will use for the required evaluation of the program.	

Requirements from GEPA and Other General Education Legislation and Regulations

All forms below, with the exception of the budget form and GEPA Section 427 (which is a narrative statement), must be submitted in hard copy with an original signature. The budget and statement on compliance with GEPA 427 must be included in the application.

Area	Information to be Included	Signed?	Included?
Cover page	SF 424: Application for Federal Education Assistance		
Budget form	ED Form 524: Itemized budget & other budget information		
General Education Provisions Act (GEPA)	Description of compliance with the General Education Provisions Act, Section 427		
GEPA	Assurance: Non-Construction Programs (SF424B)		
GEPA	Certifications: Lobbying; Debarment; Suspension and Other Responsibility Matter; and Drug-Free Workplace Requirements (ED80-0013)		
GEPA	If applicable: Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion—Lower Tier Covered Transactions (ED 80-0014)		
GEPA	If applicable: Disclosure of Lobbying Activities (Form LLL)		

Checklist for Reading and Literacy Partnership

New or existing partnership?		
Is the state using a pre-existing partnership or did it establish a new one for the REA? ____ New partnership ____ Pre-existing partnership		
If a pre-existing partnership, were the Governor and Chief State School Officer in the partnership?		
If a pre-existing partnership, did it have as a central part of its mission the promotion of literacy for children in their early childhood years through the 3rd grade and family literacy?		
In the application:		Done?
An assurance that the Governor of the State, in consultation with the State education agency, has established a reading and literacy partnership described in subsection (d).		
A description of how such partnership assisted in the development of the State plan.		
A description of how such partnership will be involved in advising on the selection of subgrantees under sections 2255 and 2256.		
A description of how such partnership will assist in the oversight and evaluation of such subgrantees.		
List of members (give name or names and affiliation) ¹		
<i>For new partnership (not a pre-existing partnership):</i>		
	• Governor	
	• Chief State School Officer	
	• The chairman and the ranking member of each committee of the state legislature that is responsible for education policy	
	• A representative, selected jointly by the Governor and Chief State school officer, of at least one local educational agency that is eligible to receive an LRI subgrant	
	• A representative, selected jointly by the Governor and Chief State school officer, of a community-based organization working with children to improve their reading skills	
	• State directors of appropriate Federal or State programs with strong reading component	
	• A parent of a public or private schools student or a parent who educates their child or children in their home selected jointly by the Governor and Chief State school officer	
	• A teacher who successfully teaches reading selected jointly by the Governor and Chief State school officer and an instructional staff member selected jointly by the Governor and Chief State school officer	
	• A family literacy provider selected jointly by the Governor and Chief State school officer	
<i>For REA partnership based on pre-existing partnership:</i>		
	• Governor	
	• Chief State School Officer	
	• ??	
	• ??	

¹ We recommend that the state include any optional members as well, but the critical list is of the required members.

Checklist for Teacher Certification (competitive priority)

“(C) PRIORITY.—The panel shall recommend grant applications from State educational agencies under this section to the Secretary for funding or for disapproval. In making such recommendations, the panel shall give priority to applications from State educational agencies whose States have modified, are modifying, or provide an assurance that not later than 18 months after receiving a grant under this section the State educational agencies will increase the training and the methods of teaching reading required for certification as an elementary school teacher to reflect scientifically based reading research, except that nothing in this Act shall be construed to establish a national system of teacher certification.” Section 2253(c)(2)(C)

Teacher certification changes made already:	
	Has the state modified elementary school teacher certification requirements? ____ Yes ____ No
	When were they modified? Month: _____ Year: 19____
	Did the modification increase requirements in the area of reading covering grades K-3? ____ Yes ____ No
	What were the changes? How were the changes related to scientifically-based reading research?
Teacher certification changes proposed to be made within 18 months after the start of the grant:	
	Does the state promise to make changes in elementary teacher certification requirements? ____ Yes ____ No (skip to item 8)
	When does the state plan to make these changes?
	What changes are proposed? How are the changes related to scientifically-based reading research?

Guidance on Section 427 of the General Education Provision Act

Notice To All Applicants

The purpose of this enclosure is to inform you about a provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Pub. L. 103-382).

To whom does this provision apply?

Section 427 of GEPA affects applicants for new grant awards under this program. All applicants for new awards must include information in their applications to address this provision in order to receive funding under this program.

What does this provision require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in its Federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are examples of how an applicant might satisfy the requirement of this provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in Braille for students who are blind.

- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

The time required to complete this information collection is estimated to vary from 1 to 3 hours per response, with an average of 1.5 hours, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection.

If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651.

OMB Control No. 1801-0004 (Exp. 8/31/2001)

Standard Forms for Discretionary Grant Applications

Except for the budget (Section 524), if submitted, the following forms must be submitted in hard copy to the Department with original signatures.

- Application for Federal Assistance, U.S. Department of Education (ED form 424)
 - Instructions for filling out ED form 424
 - Protection of Human Subjects in Research (attachment to ED 424)
- ED Form 524--Budget Information, Non-Construction Programs
 - ED Form 524--Instructions
- Standard Form 424B--Assurances, Non-Construction Programs
- D80-0013--Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements
- ED80-0014--Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions (if applicable)
- Standard Form LLL--Disclosure of Lobbying Activities (if applicable)

Electronic version of these forms and instructions in Adobe .PDF, Microsoft Word, and Corel WordPerfect formats are available at::

<http://ocfo.ed.gov/grntinfo/appforms.htm>

Application for Federal Education Assistance

Note: If available, please provide application package on diskette and specify the file



U.S. Department of Education

Form Approved
OMB No. 1875-0106
Exp. 06/30/2001

Applicant Information

1. Name and Address

Legal Name: _____

Address: _____

City _____ State _____ County _____

ZIP Code + 4 _____

Organizational Unit

2. Applicant's D-U-N-S Number: _____

6. Is the applicant delinquent on any Federal debt? ☐ Yes ☐ No
(If "Yes," attach an explanation.)

3. Applicant's T-I-N _____ - _____

Title: _____

4. Catalog of Federal Domestic Assistance #: **84.338** →

5. Project Director: _____

7. Type of Applicant (Enter appropriate letter in the box.) _____

Address: _____

A - State
B - County
C - Municipal
D - Township
E - Interstate
F - Intermunicipal
G - Special District
H - Independent School District
I - Public College or University
J - Private, Non-Profit College or University
K - Indian Tribe
L - Individual
M - Private, Profit-Making Organization
N - Other (Specify): _____

City _____ State _____ Zip code + 4 _____

Tel. #: () _____ - _____ Fax #: () _____ - _____

E-Mail Address: _____

8. Novice Applicant ☐ Yes ☐ No

Application Information

9. Type of Submission:

-PreApplication *-Application*
☐ Construction ☐ Construction
☐ Non-Construction ☐ Non-Construction

12. Are any research activities involving human subjects planned at any time during the proposed project period? ☐ Yes ☐ No
a. If "Yes," Exemption(s) #: _____ b. Assurance of Compliance #: _____

10. Is application subject to review by Executive Order 12372 process?
☐ Yes (Date made available to the Executive Order 12372 process for review): ____/____/____

c. IRB approval date: _____ Full IRB **or** _____ Expedited Review

☐ No (If "No," check appropriate box below.)
☐ Program is not covered by E.O. 12372.
☐ Program has not been selected by State for review.

11. Proposed Project Dates: ____/____/____
Start Date: _____ End Date: _____

13. Descriptive Title of Applicant's Project:

Estimated Funding

14a. Federal \$ _____ .00
b. Applicant \$ _____ .00
c. State \$ _____ .00
d. Local \$ _____ .00
e. Other \$ _____ .00
f. Program Income \$ _____ .00
g. TOTAL \$ _____ .00

ED 424 (rev 11/12/99)

Authorized Representative

15. To the best of my knowledge and belief, all data in this preapplication/application are true and correct. The document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.

a. Typed Name of Authorized Representative: _____

b. Title: _____

c. Tel. #: () _____ Fax #: () _____

d. E-mail Address: _____

e. Signature of Authorized Representative

Date: ____/____/____

Instructions for ED 424

- 1. Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
- 2. D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com/dbis/aboutdb/intlduns.htm>.
- 3. Tax Identification Number.** Enter the tax identification number as assigned by the Internal Revenue Service.
- 4. Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested.
- 5. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
- 6. Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
- 7. Type of Applicant.** Enter the appropriate letter in the box provided.
- 8. Novice Applicant.** Check "Yes" only if assistance is being requested under a program that gives special consideration to novice applicants and you meet the program requirements for novice applicants. By checking "Yes" the applicant certifies that it meets the novice applicant requirements specified by ED. Otherwise, check "No."
- 9. Type of Submission.** Self-explanatory.
- 10. Executive Order 12372.** Check "Yes" if the application is subject to review by Executive Order 12372. Also, please enter the month, date, and four (4) digit year (e.g., 12/12/2000). Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Otherwise, check "No."
- 11. Proposed Project Dates.** Please enter the month, date, and four (4) digit year (e.g., 12/12/2000).
- 12. Human Subjects.** Check "Yes" or "No". If research activities involving human subjects are not planned at any time during the proposed project period, check "No."

The remaining parts of item 11 are then not applicable.

If research activities involving human subjects, whether or not exempt from Federal regulations for the protection of human subjects, are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution, check "Yes." If all the research activities are designated to be exempt under the regulations, enter, in item 11a, the exemption number(s) corresponding to one or more of the six exemption categories listed in "Protection of Human Subjects in Research" attached to this form. Provide sufficient information in the application to allow a determination that the designated exemptions in item 11a, are appropriate. **Provide this narrative information in an "Item 11/Protection of Human Subjects Attachment" and insert this attachment immediately following the ED 424 face page. Skip the remaining parts of item 11.**

If some or all of the planned research activities involving human subjects are covered (nonexempt), skip item 11a and continue with the remaining parts of item 11, as noted below. In addition, follow the instructions in "Protection of Human Subjects in Research" attached to this form to prepare the six-point narrative about the nonexempt activities. **Provide this six-point narrative in an "Item 11/Protection of Human Subjects Attachment" and insert this attachment immediately following the ED 424 face page.**

If the applicant organization has an approved Multiple Project Assurance of Compliance on file with the Grants Policy and Oversight Staff (GPOS), U.S. Department of Education, or with the Office for Protection from Research Risks (OPRR), National Institutes of Health, U.S. Department of Health and Human Services, that covers the specific activity, enter the Assurance number in item 11b and the date of approval by the Institutional Review Board (IRB) of the proposed activities in item 11c. This date must be no earlier than one year before the receipt date for which the application is submitted and must include the four (4) digit year (e.g., 2000). Check the type of IRB review in the appropriate box. An IRB may use the expedited review procedure if it complies with the requirements of 34 CFR 97.110. If the IRB review is delayed beyond the submission of the application, enter "Pending" in item 11c. If your application is recommended/selected for funding, a follow-up certification of IRB approval from an official signing for the applicant organization must be sent to and received by the designated ED official within 30 days after a specific formal request from the designated ED official. **If the applicant organization does not have** on file with GPOS or OPRR **an approved Assurance of Compliance** that covers the proposed research activity, enter "None" in item 11b and skip 11c. In this case, the applicant organization, by the signature on the application,

is declaring that it will comply with 34 CFR 97 within 30 days after a specific formal request from the designated ED official for the Assurance(s) and IRB certifications.

13. Project Title. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

14. Estimated Funding. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 13.

15. Certification. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office.

Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 14e, please enter the month, date, and four (4) digit year (e.g., 12/12/2000) in the date signed field.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1875-0106**. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3633, Washington, D.C. 20202-4725

Protection of Human Subjects in Research (Attachment to ED 424)

I. Instructions to Applicants about the Narrative Information that Must be Provided if Research Activities Involving Human Subjects are Planned.

If you marked item 11 on the application “Yes” and designated exemptions in 11a, **(all research activities are exempt)**, provide sufficient information in the application to allow a determination that the designated exemptions are appropriate. Research involving human subjects that is exempt from the regulations is discussed under **II.B. “Exemptions,”** below. The Narrative must be succinct. **Provide this information in an “Item 11/Protection of Human Subjects Attachment” and insert this attachment immediately following the ED 424 face page.**

If you marked “Yes” to item 11 on the face page, and designated no exemptions from the regulations **(some or all of the research activities are nonexempt)**, address the following six points for each nonexempt activity. In addition, if research involving human subjects will take place at collaborating site(s) or other performance site(s), provide this information before discussing the six points. Although no specific page limitation applies to this section of the application, be succinct. Provide the six-point narrative and discussion of other performance sites in an **“Item 11/Protection of Human Subjects Attachment” and insert this attachment immediately following the ED 424 face page.**

(1) Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable.

(2) Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness.

Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

II. Information on Research Activities Involving Human Subjects

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department’s regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Is it a research activity?

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge, such as an exploratory study or the collection of data to test a hypothesis, it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Is it a human subject?

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” (1) *If an activity involves obtaining information about a living person by manipulating that person or that person’s environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met.* (2) *If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily*

determined by the investigator or associated with the information), the definition of human subject is met. [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the only involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, this exemption applies only to research involving educational tests or observations of public behavior when the investigator(s) do not participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or

otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff (GPOS) Office of the Chief Financial and Chief Information Officer, U.S. Department of Education, Washington, D.C., telephone: (202) 708-8263, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at <http://ocfo.ed.gov/humansub.htm>.

Instructions for ED 424

1. **Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
2. **D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:
<http://www.dnb.com/dbis/aboutdb/intlduns.htm>.
3. **Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested.
4. **Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
5. **Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
6. **Type of Applicant.** Enter the appropriate letter in the box provided.
7. **Novice Applicant.** Check "Yes" only if assistance is being requested under a program that gives special consideration to novice applicants and you meet the program requirements for novice applicants. By checking "Yes" the applicant certifies that it meets the novice applicant requirements specified by ED. Otherwise, check "No."
8. **Type of Submission.** Self-explanatory.
9. **Executive Order 12372.** Check "Yes" if the application is subject to review by Executive Order 12372. Also, please enter the month, date, and four (4) digit year (e.g., 12/12/2000). Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Otherwise, check "No."
10. **Proposed Project Dates.** Please enter the month, date, and four (4) digit year (e.g., 12/12/2000).
11. **Human Subjects.** Check "Yes" or "No". If research activities involving human subjects are not planned at any time during the proposed project period, check "No." **The remaining parts of item 11 are then not applicable.**

If research activities involving human subjects, whether or not exempt from Federal regulations for the protection of human subjects, are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution, check "Yes." If all the research activities are designated to be exempt under the regulations, enter, in item 11a, the exemption number(s) corresponding to one or more of the six exemption categories listed in "Protection of Human Subjects in Research" attached to this form. Provide sufficient information in the application to allow a determination that the designated exemptions in item 11a, are appropriate. **Provide this narrative information in an "Item 11/Protection of Human Subjects Attachment" and insert this attachment immediately following the ED 424 face page. Skip the remaining parts of item 11.**

If some or all of the planned research activities involving human subjects are covered (nonexempt), skip item 11a and continue with the remaining parts of item 11, as noted below. In addition, follow the instructions in "Protection of Human Subjects in Research" attached to this form to prepare the six-point narrative about the nonexempt activities. **Provide this six-point narrative in an "Item 11/Protection of Human Subjects Attachment" and insert this attachment immediately following the ED 424 face page.**

If the applicant organization has an approved Multiple Project Assurance of Compliance on file with the Grants Policy and Oversight Staff (GPOS), U.S. Department of Education, or with the Office for Protection from Research Risks (OPRR), National Institutes of Health, U.S. Department of Health and Human Services, that covers the specific activity, enter the Assurance number in item 11b and the date of approval by the Institutional Review Board (IRB) of the proposed activities in item 11c. This date must be no earlier than one year before the receipt date for which the application is submitted and must include the four (4) digit year (e.g., 2000). Check the type of IRB review in the appropriate box. An IRB may use the expedited review procedure if it complies with the requirements of 34 CFR 97.110. If the IRB review is delayed beyond the submission of the application, enter "Pending" in item 11c. If your application is recommended/selected for funding, a follow-up certification of IRB approval from an official signing for the applicant organization must be sent to and received by the designated ED official within 30 days after a specific formal request from the designated ED official. **If the applicant organization does not have** on file with GPOS or OPRR **an approved Assurance of Compliance** that covers the proposed research activity, enter "None" in item 11b and skip 11c. In this case, the applicant organization, by the signature on the application, is declaring that it will comply with 34 CFR 97 within 30 days after a specific formal request from the designated ED official for the Assurance(s) and IRB certifications.

- 12. Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
- 13. Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 13.
- 14. Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 14e, please enter the month, date, and four (4) digit year (e.g., 12/12/2000) in the date signed field.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1875-0106**. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3633, Washington, D.C. 20202-4725

Protection of Human Subjects in Research (Attachment to ED 424)

I. Instructions to Applicants about the Narrative Information that Must be Provided if Research Activities Involving Human Subjects are Planned.

If you marked item 11 on the application “Yes” and designated exemptions in 11a, **(all research activities are exempt)**, provide sufficient information in the application to allow a determination that the designated exemptions are appropriate. Research involving human subjects that is exempt from the regulations is discussed under **II.B. “Exemptions,”** below. The Narrative must be succinct. **Provide this information in an “Item 11/Protection of Human Subjects Attachment” and insert this attachment immediately following the ED 424 face page.**

If you marked “Yes” to item 11 on the face page, and designated no exemptions from the regulations **(some or all of the research activities are nonexempt)**, address the following six points for each nonexempt activity. In addition, if research involving human subjects will take place at collaborating site(s) or other performance site(s), provide this information before discussing the six points. Although no specific page limitation applies to this section of the application, be succinct. Provide the six-point narrative and discussion of other performance sites in an **“Item 11/Protection of Human Subjects Attachment” and insert this attachment immediately following the ED 424 face page.**

(1) Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable.

(2) Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

II. Information on Research Activities Involving Human Subjects

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department’s regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Is it a research activity?

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge, such as an exploratory study or the collection of data to test a hypothesis, it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Is it a human subject?

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” (1) *If an activity involves obtaining information about a living person by manipulating that person or that person’s environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met.* (2) *If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated*

with the information), the definition of human subject is met. [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the only involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, this exemption applies only to research involving educational tests or observations of public behavior when the investigator(s) do not participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service

programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S Department of Agriculture.

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff (GPOS) Office of the Chief Financial and Chief Information Officer, U.S. Department of Education, Washington, D.C., telephone: (202) 708-8263, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at <http://ocfo.ed.gov/humansub.htm>

**U.S. DEPARTMENT OF EDUCATION
BUDGET INFORMATION
NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1890-0004

Expiration Date: 02/28/2003

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY
U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

ED Form No. 524

Name of Institution/Organization	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.
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**SECTION B - BUDGET SUMMARY
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direc Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

SECTION C - OTHER BUDGET INFORMATION (see instructions)

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. This form is now undergoing OMB clearance and should be considered draft until a new valid OMB collection number is obtained.

Public reporting burden for this collection of information is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time reviewing instructions, searching existing data resources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, DC 20202-4651; and the Office of Management and Budget, Paperwork Reduction Project 1875-0102, Washington, DC 20503.

INSTRUCTIONS FOR ED FORM 524

General Instructions

This form is used to apply to individual U.S. Department of Education discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program instructions if attached.

Section A – Budget Summary: U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

Section B – Budget Summary: Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

Section C – Other Budget Information

Pay attention to applicable program specific instructions, if attached.

Provide an itemized budget breakdown, by project year, for each budget category listed in Sections A and B.

If applicable to this program, enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period. In addition, enter the estimated amount of the base to which the rate is applied, and the total indirect expense.

If applicable to this program, provide the rate and base on which fringe benefits are calculated.

Provide other explanations or comments you deem necessary.

OMB Approval No. 0348-0040
Assurances: Non-Construction Programs

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

Please do not return your completed form to the Office of Management and Budget.
Send it to the address provided by the sponsoring agency.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §3601 et seq.), as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §§276c and 18 U.S.C. §§874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the

National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L.93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and

the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Signature of Authorized Certifying Official	Title	
Applicant Organization		Date Submitted

*Authorized for Local Reproduction
Standard Form 424 B (4-88) Prescribed by OMB Circular A-102*

Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a

criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

- (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- (d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an on-going drug-free awareness program to inform employees about:
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will-
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 600 Independence Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted-
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

- B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

- A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and
- B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 600 Independence Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE
SIGNATURE DATE

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion — Lower Tier Covered Transactions

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE
SIGNATURE DATE

Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure)

1. Type of Federal Action: a. contract ____ b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	2. Status of Federal Action: a. bid/offer/application ____ b. initial award c. post-award	3. Report Type: a. initial filing ____ b. material change For material change only: Year _____ quarter _____ Date of last report _____
4. Name and Address of Reporting Entity: ____ Prime ____ Subawardee Tier _____, if Known: Congressional District, if known:		5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District, if known:
6. Federal Department/Agency:	7. Federal Program Name/Description CFDA Number, if applicable _____	
8. Federal Action Number, if known:	9. Award Amount, if known: \$	
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI):	b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.		Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____
Federal Use Only		Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

Estimated Public Reporting Burden

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1810-0616. Expiration date: March 31, 2003.

The time required to complete this information collection is estimated to average 48 hours (forty-eight hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.)

If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Nancy Rhett, U.S. Department of Education, 400 Maryland Avenue, SW, room 5C-137, Washington DC 20202-6200.

Intergovernmental Review of Federal Programs

This section applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A listing containing the Single Point of Contact for each State is included in this appendix.

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address:

The Secretary
Re: Executive Order 12372
U.S. Department of Education
Room 7W-100
400 Maryland Avenue SW
Washington, DC 20202-0124.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION.

DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS

State Single Points Of Contact

Note: In accordance with Executive Order #12372, this listing represents the designated State Single Points of Contact.

Because participation is voluntary, some States and Territories no longer participate in the process. These include: Alabama, Alaska, American Samoa, Colorado, Connecticut, Hawaii, Idaho, Kansas, Louisiana, Massachusetts, Minnesota, Montana, Nebraska, New Jersey, Ohio, Oklahoma, Oregon, Pennsylvania, South Dakota, Tennessee, Vermont, Virginia, and Washington.

The jurisdictions not listed no longer participate in the process. However, an applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc., does not have a State Single Point of Contact.

ARIZONA

Joni Saad
Arizona State Clearinghouse
3800 N. Central Avenue
Fourteenth Floor
Phoenix, AZ 85012
Telephone: (602) 280-1315
Fax: (602) 280-8144

ARKANSAS

Mr. Tracy L. Copeland
Manager, State Clearinghouse
Office of Intergovernmental Services
Department of Finance and Administration
1515 W. 7th Street, Room 412
Little Rock, AR 72203
Telephone: (501) 682-1074
Fax: (501) 682-5206

CALIFORNIA

Grants Coordinator
Office of Planning & Research
1600 Ninth Street, Room 250
Sacramento, CA 95814
Telephone: (916) 323-7480
Fax: (916) 323-3018

DELAWARE

Francine Booth
State Single Point of Contact
Executive Department
Office of the Budget
Thomas Collins Building
P.O. Box 1401
Dover, DE 19903
Telephone: (302) 739-3326
Fax: (302) 739-5661

DISTRICT OF COLUMBIA

Charles Nichols
State Single Point of Contact
Office of Grants Mgmt. & Development.
717 14th Street, NW - Suite 400
Washington, DC 20005
Telephone: (202) 727-6554
Fax: (202) 727-1617

FLORIDA

Florida State Clearinghouse
Department of Community Affairs
22740 Centerview Drive
Tallahassee, FL 32399-2100
Telephone: (904) 922-5438
Fax: (904) 487-2899

GEORGIA

Tom L. Reid, III
Coordinator
Georgia State Clearinghouse
270 Washington Street, S.W. - 8th Floor
Atlanta, GA 30334
Telephone: (404) 656-3855
Fax: (404) 656-3828

ILLINOIS

Ms. Virginia Bova, Single Point of Contact
Illinois Department of Commerce and
Community Affairs
James R. Thompson Center
100 West Randolph, Suite 3-400
Chicago, IL 60601
Telephone: (312) 814-6028
Fax: (312) 814-1800

INDIANA

Frances Williams
State Budget Agency
212 State House
Indianapolis, IN 46204-2796
Telephone: (317) 232-5619
Fax: (317) 233-3323

IOWA

Steven R. McCann
Division for Community Assistance
Iowa Department of Economic
Development
200 East Grand Avenue
Des Moines, IA 50309
Telephone: (515) 242-4719
Fax: (515) 242-4809

KENTUCKY

Ronald W. Cook
Office of the Governor
Department of Local Government
1024 Capitol Center Drive - Suite 340
Frankfort, KY 40601-8204
Telephone: (502) 573-2382
Fax: (502) 573-2512

MAINE

Joyce Benson
State Planning Office
184 State Street
38 State House Station
Augusta, ME 04333
Telephone: (207) 287-3261
Fax: (207) 287-6489

MARYLAND

William G. Carroll
Manager, Plan & Project Review
Maryland Office of Planning
301 W. Preston Street - Room 1104
Baltimore, MD 21201-2365
Staff Contact: Linda Janey
Telephone: (410) 767-4490
Fax: (410) 767-4480

MICHIGAN

Richard Pfaff
Southeast Michigan Council of Governments
660 Plaza Drive - Suite 1900
Detroit, MI 48226
Telephone: (313) 961-4266
Fax: (313) 961-4869

MISSISSIPPI

Cathy Mallette
Clearinghouse Officer
Department of Finance and Administration
550 High Street
Jackson, MS 39302-3087
Telephone: (601) 359-6762
Fax: (601) 359-6764

MISSOURI

Lois Pohl
Federal Assistance Clearinghouse
Office of Administration
P.O. Box 809
Room 760, Truman Building
Jefferson City, MO 65102
Telephone: (314) 751-4834
Fax: (314) 751-7819

NEVADA

Department of Administration
State Clearinghouse
Capitol Complex
Carson City, NV 89710
Telephone: (702) 687-4065
Fax: (702) 687-3983

NEW HAMPSHIRE

Jeffrey H. Taylor
Director, New Hampshire Office of State
Planning
Attn: Intergovernmental Review Process
Mike Blake
2 ½ Beacon Street
Concord, NH 03301
Telephone: (603) 271-2155
Fax: (603) 271-1728

NEW MEXICO

Robert Peters
State Budget Division
Room 190 Bataan Memorial Building
Santa Fe, NM 87503
Telephone: (505) 827-3640

NEW YORK

New York State Clearinghouse
Division of the Budget
State Capitol
Albany, NY 12224
Telephone: (518) 474-1605
Fax: (518) 486-5617

NORTH CAROLINA

Chrys Baggett, Director
N.C. State Clearinghouse
Office of the Secretary of Admin.
116 West Jones Street - Suite 5106
Raleigh, NC 27603-8003
Telephone: (919) 733-7232
Fax: (919) 733-9571

NORTH DAKOTA

North Dakota Single Point of Contact
Office of Intergovernmental Assistance
600 East Boulevard Avenue
Bismarck, ND 58505-0170
Telephone: (701) 224-2094
Fax: (701) 224-2308

RHODE ISLAND

Kevin Nelson
Review Coordinator
Department of Administration
Division of Planning
One Capitol Hill, 4th Floor
Providence, RI 02908-5870
Telephone: (401) 277-2656
Fax: (401) 277-2083

SOUTH CAROLINA

Rodney Grizzle
State Single Point of Contact
Grant Services
Office of the Governor
1205 Pendleton Street - Room 331
Columbia, SC 29201
Telephone: (803) 734-0494
Fax: (803) 734-0356

TEXAS

Tom Adams
Governors Office
Director, Intergovernmental Coordination
P.O. Box 12428
Austin, TX 78711
Telephone: (512) 463-1771
Fax: (512) 463-1880

UTAH

Carolyn Wright
Utah State Clearinghouse
Office of Planning and Budget
Room 116, State Capitol
Salt Lake City, UT 84114
Telephone: (801) 538-1535
Fax: (801) 538-1547

WEST VIRGINIA

Fred Cutlip, Director
Community Development Division
W. Virginia Development Office
Building #6, Room 553
Charleston, WV 25305
Telephone: (304) 558-4010
Fax: (304) 558-3248

WISCONSIN

Jeff Smith
Section Chief, State/Federal Relations
Wisconsin Department of Administration
101 East Wilson Street - 6th Floor
P.O. Box 7868
Madison, WI 53707
Telephone: (608) 266-0267
Fax: (608) 267-6931

WYOMING

Matthew Jones
State Single Point of Contact
Office of the Governor
200 West 24th Street
State Capitol, Room 124
Cheyenne, WY 82002
Telephone: (307) 777-7446
Fax: (307) 632-3909

TERRITORIES**GUAM**

Mr. Giovanni T. Sgambelluri
Director, Bureau of Budget and Management
Research
Office of the Governor
P.O. Box 2950
Agana, GU 96910
Telephone: 011-671-472-2285
Fax: 011-671-472-2825

PUERTO RICO

Norma Burgos/Jose E. Caro
Chairwoman/Director
Puerto Rico Planning Board
Federal Proposals Review Office
Minillas Government Center
P.O. Box 4119
San Juan, PR 00940-1119
Telephone: (809) 727-4444
(809) 723-6190
Fax: (809) 724-3270
(809) 724-3103

NORTH MARIANA ISLANDS

Mr. Alvaro A. Santos, Executive Officer
Office of Management and Budget
Office of the Governor
Saipan, MP 96950
Telephone: (670) 664-2256
Fax: (670) 664-2272
Contact person: Ms. Jacoba T. Seman
Federal Programs Coordinator
Telephone: (670) 664-2289
Fax: (670) 664-2272

VIRGIN ISLANDS

Nellon Bowry
Director, Office of Management and Budget
41 Noregade Emancipation Garden Station
Second Floor
Saint Thomas, VI 00802
*Please direct all questions and
correspondence about intergovernmental
review to:*
Linda Clarke
(809) 774-0750
Fax (809) 776-0069

Note: This list is based on the most current information provided by the States. Information on any changes or apparent errors should be provided to Donna Rivelli (telephone 202 395-5858) at the Office of Management and Budget and to the State in question. Changes to the list will only be made upon formal notification by the State. The list is also published biannually in the Catalog of Federal Domestic Assistance.